

Advanced Certified Compliance Professional



Course Overview

In modern times there has been a significant shift in financial institutions worldwide, in terms of how they approach corporate governance, compliance, and risk management. There continues to be increasing stakeholder demands and growing public scrutiny resulting from monumental failures around the globe. This program takes the participants' previous training in Compliance to a new level, integrating an overview of complex case studies and enhanced technological solutions with a deeper exploration of the underpinnings of compliance management and how to most efficiently and appropriately achieve true firm-wide compliance. More than an add on, the CCP Level Two program is a master class in compliance and risk management.

Course Goals

This seminar will help participants form solutions on:

- » Corporate Governance
- » Compliance Management
- » Internal Audit and Control - gain visibility and oversight of material compliance processes and issues
- » Regulatory Intelligence - reduce the burden of regulatory compliance
- » Enterprise Risk Management - mitigate operational and enterprise risks
- » Relationship Risk Management – fight fraud and money laundering to protect assets
- » Compliance Training Effectively – fulfill compliance training requirements

Skills Enhanced

- » Optimize compliance management by describing and allocating roles and tasks to the compliance platform
- » Tracking and reporting of compliance and risk training content updated in response to key regulatory developments
- » Sophisticated data analytics feed into risk assessment capabilities and board reporting tools
- » Full audit trail for regulatory compliance and reporting, an essential part of any ongoing compliance and risk program

Target Audience

All Managers are required to have a minimum of 5 years in a managerial position.

- » Compliance managers
- » Risk managers
- » Internal Auditors managers
- » Managers in Charge of Technology Acquisition or Implementation
- » Managers with roles and responsibilities in operational risk in risk management departments, businesses and central departments.
- » Upper Management tasked with the compliance technology transition
- » Holders of the CCP certification.

Minimum Attendance Requirements

- » CCP Level 1 Certification
- » Minimum of three years' experience in compliance
- » Bachelor degree



Five Day Overview

This program is currently designed to run over five days, providing a practical, interactive, customizable, and cost-effective training program. This training program is designed to alter behavior and support a culture of integrity and compliance within the individual participant, which will then permeate his or her firm.

Specifically, this program will explore the following:

DAY 1 2 3 4 5

- » Overview of the evolution of compliance from theory to guidance, to regulation, as empowered by the law.
- » Health Insurance Portability and Accountability Act (HIPAA 1996)
- » Sarbanes Oxley Act (SOX 2002) current updates
- » Graham-Leach Bliley Act (GLB 1999) current updates
- » Payment Card Industry Data Security Standard (PCI DSS 2004)
- » How to implement a compliance model
- » Elements of the OCEG GRC capability model

DAY 1 2 3 4 5

- » Presentation from OCEG on compliance and ethics, focusing on the use of technology
- » Risk management and GRC
- » Overview of GRC platforms currently marketed and what to expect from a software server provider
- » Data warehousing and data security
- » Key variables to be considered in setting up risk protocol including Access Control, Audit Management, Global Trade Services, Sanctioned-Party List, Process Control, Policy Survey, Risk Management, and Fraud Management
- » Financial compliance online, virtual currency compliance
- » Islamic banking and cultural compliance

DAY 1 2 3 4 5

- » Personal liability including how, when, and why a compliance officer serves jail sentences for personal liability crimes
- » Corruption and bribery acts, solution assessment process
- » Technical solutions implementation
- » The advanced role of IT and compliance
- » Data privacy and cyber security

DAY 1 2 3 4 5

- » Cost of data loss and misuse, risk of noncompliance with legal requirements, leveraging corporate governance to underpin business performance.
- » GRC and compliance, personal liability, and contingency planning
- » Behavioral detection platform overview
- » Selective best practices from COSO, CobiT, and Basel II operational risk management from case studies.
- » Corrective and prevention action plan (CAPA approach)

DAY 1 2 3 4 5

- » Focused group discussions (leadership decision making process, the should and would of compliance top management).
- » Compliance Return on Investment (ROI)
- » Final project presentations
- » Final exam.



Course Summary

This training is designed to impart to participants the right information to support each individual through regulatory change. This course is continually updated in response to regulatory and legislative changes, empowering participants to act with confidence in a sophisticated and ever changing environment. Case studies differ from region to region.

We employ instructional design techniques optimized for risk and compliance training, enabling you to educate others in a way that reduces risk and encourages compliant behavior. Our courses are driven by practical example examples and interactive scenarios to ensure users truly understand and recognize the risk and compliance issues most relevant to your business. Through this training, participants will learn to instinctively act to support compliance and risk management within their firm.

Our training in compliance traces back from incidents that led to the current compliance environment, enabling participants to understand the reasons we face certain risks and how to deal with it at the source. Rather than patching problems as they arise, this targeted technique identifies gaps in knowledge and creates a culture of prevention rather than repair. This data-driven approach empowers you to tailor your compliance-training program to more effectively manage risk and protect your business.

This program is designed to take the risk and worry out of technology and the administration out of training. Our learning management system is optimized for compliance and provides a truly scalable approach to training. Investing in technology can offer a simple solution to large problems, but at a substantial financial cost. Budget constraints are viewed as an additional risk to take into account when making this decision in the context of this training.

As senior management and regulators demand a greater level of transparency of reporting on compliance efforts, traditional methods of record keeping become less effective. Our training teaches how to maintain transparency to regulators while making full use of regulation loop holes and grace periods.

Just as one size does not fit all, so one regulation or regulatory body does not suit all firms. A global approach is viewed as a starting point, but then drilled down to the micro-level to fit the industry and firm of the participant. We help companies reach optimal outcomes and educate their staff in a way that meets firm-level compliance and risk objectives.

Finally, we enhance our course catalogue with technology and content from leading experts and education providers in the industry. Guest speakers and outside sources are utilized to enhance the tailored fit of each training. Our guest speakers are professionals with over 20 years of experience; their added value resides not only in the fact that they have been working in the field and dealing with daily operational tasks and obstacles, but also in the fact that they have maintained careers within the field and witnessed first hand the evolution of compliance and risk management therein.